State of Maine

Community Development Block Grant Program

2004 Public Facilities Grant Program Application Package

Office of Community Development
111 Sewall Street
59 State House Station
Augusta, ME 04333-0059
Phone: (207) 624-7484 TTY: (207) 287-2656
www.meocd.org

- **Fire Stations**
- **Community Facilities Group**
- **Removal of Architectural Barriers**
- **Historic Preservation**
- **Public Works/Recreation Group**

Public Facilities

Table of Contents

Application Timetable & Requirements

The timeframe for the Application Process is as follows:

Applications Due – **NO LATER THAN 4:00 P.M., FRIDAY, NOVEMBER 21, 2003.**
Late submissions will not be accepted and will be returned unopened
FAXED COPIES WILL NOT BE ACCEPTED.

Project Development Phase Invitations Announced – **JANUARY 5, 2004**

Applications must be received at the:

OFFICE OF COMMUNITY DEVELOPMENT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
59 STATE HOUSE STATION
111 SEWALL STREET
AUGUSTA, MAINE 04333-0059
FOR FURTHER INFORMATION: (207) 624-9819 TTY: (207) 287-2656

SUBMISSION REQUIREMENTS

ONE ORIGINAL containing the Application and Required Responses, Signed Cover Sheet with Certifications, Activity Designation Sheet, Demonstration of a National Objective, Budget Summary, Matching Funds Table with attached Letters of Commitment and Public Hearing Record.

SIX COPIES containing only the Application and Required Responses, Budget Summary, Matching Funds Table with Letters of Commitment and Public Hearing Record.

MARGIN AND TYPE SIZE for all Applications must contain margins consistent with those in this Application document and be typed using a minimum size 12 Arial font on 8 1/2 x 11 inch paper.

MAXIMUM LENGTH OF REQUIRED RESPONSE SECTION OF APPLICATION Applicants are limited to the space provided in the Required Responses section of each Application and may use attachments only if specifically asked to do so.

NON-CONFORMING APPLICATIONS WILL NOT BE SCORED

This Application Package is available electronically at:
www.meocd.org

Public Facilities

A STEP-BY-STEP GUIDE FOR SUCCESSFUL APPLICATION SUBMISSION

1. **Read the entire Application Package carefully!** **Be sure to follow instructions on Page 3 as to due date, number of copies submitted, font size, and paper size, margins and maximum length allowed for your Required Responses section. For additional information on all CDBG programs consult the 2004 CDBG Program Statement available on the OCD web site.**

2. **Choose the proper Public Facilities activity group listed on Page 12 that matches your proposed project.**

3. **Complete the Application Cover Sheet on Pages 9-11. The Cover Sheet contains places for signatures and lists all state and local regulations that applicants certify they will follow if awarded CDBG funds. Make sure all required signatures are obtained. At a minimum, each applicant will need the signature of their Chief Executive Officer (CEO). In addition, signatures are required from each CEO for multi-jurisdictional Applications. Projects in support of non-profit organizations or with participating developers also require the signatures of those group's executive officers.**

4. **Complete the Activity Designation Sheet on Page 12. This sheet will list project activities, identify if the project is multi-jurisdictional and determine if proposed projects are in compliance with PL 776 relating to Growth-Related Capital Investments.**

5. **Applicants must demonstrate that their proposed project meets a CDBG threshold of benefiting 51% or more low and moderate income persons or preventing or eliminating slum and blighting conditions. Attach Demonstration of National Objective to Activity Designation Sheet. Choose the type that corresponds to your project from the samples below:**

   - **For community or area-wide activities this must be current census data or a recent income survey completed for the project area. Instructions for conducting an income survey and required submission forms are contained beginning on Page 36 of this application package in the OCD Survey Methodology publication.** ***PLEASE REFER TO PAGES 51-57 FOR REQUIRED SUBMISSION FORMS.*** **The same documentation must also be included for projects removing architectural barriers from existing facilities utilized for the conduct of general local government.**

   - **For projects targeting a blighted area a Declaration of Slum and Blight adopted by the local legislative body, area map and supporting documentation are**

contained on Pages 59-61 of this application package. Check with OCD prior to seeking this designation. For projects benefiting on a spot blight basis, a letter from a responsible local authority (code enforcement officer, public works director, etc.) attesting that the facility is contributing to blight in the community and in need of extensive repairs to remain in use.

- **For historic preservation projects a letter from the Maine State Historic Preservation Commission endorsing the project and certifying that the facility is currently on or eligible for inclusion on the National Register of Historic Places. In addition, a letter from a responsible local authority (code enforcement officer, public works director, etc.) attesting that the facility is contributing to blight in the community and in need of extensive repairs to remain in use.**

- **For projects removing architectural barriers on an existing facility a statement that the applicant is not aware of any evidence to the contrary that the predominance of severely disabled persons in the project area is presumed to be low to moderate income.**

6. Complete the Application and Required Response section that corresponds to the activity group you identified from Page 12 as matching your potential project. DISCARD THE OTHER FOUR SECTIONS THAT ARE NOT APPLICABLE TO YOUR PROJECT! DO NOT SUMBIT THESE SECTIONS WITH THE APPLICATION! ***(Use only the space allotted in the Required Responses and provide attachments only if they are specifically asked for.)***

7. Complete the Matching Funds Table on Page 34 and attach letters of commitment for each funding source claimed on the table.

8. Complete the Budget Summary on Page 35. Directions for completion are included with the form.

9. Attach documentation of local public hearing to the Application. This must be in compliance with the requirements set forth on Page 7.

10. Package your Application submission and be sure to submit 1 original and 6 copies that meet the requirements contained on Page 2. ***Do not include binders, report covers, or folders, as they will be discarded prior to scoring.***

11. Use the Application Checklist on Page 6 as a tool to make sure your Application will be complete and ready for OCD review.

12. ***Remember! The Application due date is 4:00pm Friday, November 21, 2003.***

Contact us or download an electronic version of this Application at:

www.meocd.org
or call (207) 624-7484.

Public Facility Program
Application Checklist

Use this to make sure your application contains all required submissions!

A complete Application consists of:

- ☐ **a signed cover sheet,**
- ☐ **an activity designation sheet,**
- ☐ **demonstration of a national objective (i.e. income survey, census data, historic preservation letter, architectural barriers letter, spot blight documentation, or slum/blight declaration),**
- ☐ **a public hearing record consisting of the published public hearing notice, attested hearing minutes and attendance list,**
- ☐ **matching funds table with attached letters of commitment,**
- ☐ **completed budget summary, and**
- ☐ **responses to all sections of the Application.**

Incomplete packages will not be reviewed.

PUBLIC FACILITIES GRANT APPLICATION OVERVIEW

A. Introduction
The Public Facilities Grant Program provides communities with funds to help meet their identified public facility problems in one of five activity groups. Units of General Local Government and unorganized territories may not benefit from, or apply for, more than one Public Facilities Grant Program per grant year. Multi-jurisdictional applications from two or more communities must designate a lead community. Counties may apply on behalf of unorganized territories.

B. Public Hearing Requirements
Each applicant is required to hold a duly authorized public hearing during the Application process with a minimum of 10 pays prior notice. The hearing must be advertised in local newspapers and posted according to local requirements. **Applicants must attach a copy of the published hearing notice, attested copy of the minutes and attendance list to the original and all six copies of the Application.**

C. Applicant Prohibitions
Units of general local government and unorganized territories may not benefit from or apply for more than one PF per grant year. Those that benefited from a 2003 PF award may not apply for a 2004 PF grant. **Eligible units of general local government as defined above may apply for CDBG assistance on behalf of the five Maine Indian Tribes. Maine Indian Tribes are not themselves eligible applicants.**

D. Multi-Jurisdictional Applications
A multi-jurisdictional application is one submitted from two or more communities joining together to create a single public facilities program.

E. Application Process
The selection process for the Public Facilities Grant Program consists of two phases - an Application phase and a Project Development Phase.

1. Competitive Application
The Application asks communities to provide a description of their most important public facilities problem, solution to be addressed through this Application, the local participation that determined this need and the commitment of local and/or other resources in implementing the solution.

The applicant must complete the Application form and may only attach additional information if specifically requested. Please remember to answer briefly and as completely as possible within the allotted space. The focus of the review is to assess the readiness, feasibility, LMI impact, health and safety issues and need for funding from the basic facts of the situation and proposed solution. Public Facilities Grant Program applicants who are “service center or specialized center communities,” as identified by the Maine State Planning Office, or proposing to complete activities supporting the revitalization of downtown areas, will be given priority during the review process.

Specific Application requirements of each activity group listed in this document must be strictly followed.

Review of Applications will begin following the November 21, 2003 deadline. Each Application will be rated on its own merit and in relation to all other Public Facilities program applications in the respective categories and placed in rank order from highest to lowest according to the scores determined by the scoring team. **A minimum of 80 points** from the Impact, Development of Strategy, Project leverage and Citizen Participation sections will be required for an application to be considered for funding. After the review is completed, successful communities will be invited into the Project Development Phase. At least one application will be funded from each activity group as long as there are qualified applications submitted in all categories. Review criteria for the Application process is described below.

2. Project Development
An invitation into the project development phase will tentatively reserve funds for the project. Final funding is contingent upon the Office of Community Development's (OCD) receipt of funds from HUD, successful completion of all development phase criteria and establishment of a final funding level by the OCD. All aspects of the development phase must be completed prior to the execution of a contract with OCD and include:

1) environmental review;
2) cost analysis and justification;
3) non CDBG project funds commitments;
4) management plan development; and
5) specific state and federal requirements.

The emphasis during the development phase is on establishing the best project to meet the community's needs through a local/regional/state partnership. A Development Program Manager will be assigned to work with each community to assist in the development and finalization of their project. **Applicants have six months to complete the project development phase process or notice of award may be rescinded.** Planning grants may be available to assist communities with costs associated with completing the project development phase.

3. Project Implementation
Following contract execution, the community will be awarded Public Facilities Grant Program funds and will begin to implement their project. The Development Program Manager will remain involved with the community throughout implementation to provide technical assistance and to monitor compliance with federal and state regulations.

PUBLIC FACILITIES GRANT APPLICATION COVER SHEET

A. Applicant Identification

Applicant ______________________________
Street/P.O. Box ______________________________
Town/City ______________________________
Zip Code ______________________________

B. The Applicant Certifies That:

1. State Certifications

a. To the best of my knowledge and belief, the information in this Application is true and correct:

b. the governing body of the applicant has duly endorsed the document;

c. a local cash match that directly relates to the proposed activity and is the equivalent of 20 percent of the project grant award will be provided if the applicant is invited to proceed. This match may consist of all non-CDBG loans, grants, endowments, etc. contributed to the project. In-kind material or services to be expended during completion of the proposed project or which has been expended for activities directly related to and necessary for the completion of the proposed project no more than two years prior to the submission of this Application may not count as current cash match,

d. the proposed project has been reviewed and it complies with the Community's comprehensive plan and/or applicable state and local land use requirements;

e. it will work with the Office of Community Development to develop a detailed project if it receives a conditional award; and

f. it will comply with all applicable State laws and regulations.

2. Federal Certifications

a. it will take actions to affirmatively further fair housing and implement CDBG activities in compliance with Title VI of the Civil Rights Act of l964 and Title VIII of the Civil Rights Act of 1968;

b. it will not attempt to recover capital costs for the construction of public improvements, assisted in whole or in part with CDBG funds, by charging special assessments or fees against properties owned and occupied by persons of low and moderate income, including any fee, charge or assessment made as a condition of obtaining access to such public improvements, unless:

(i) CDBG funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than CDBG funds; or

(ii) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, and the applicant certifies that it lacks sufficient CDBG funds to comply with the requirements of clause (i) above.

c. prior to expenditure of CDBG funds, it will establish a local community development plan that identifies the Community's housing and community development needs, including the needs of low and moderate income, and the activities to be undertaken to meet them;

d. it will provide in a timely manner for citizen participation, public hearings, and access to information with respect to the Maine Small Cities CDBG Program and the proposed local CDBG project/program. Indicate in public notices and at public hearings that the State program is competitive, the maximum grant amount that can be requested, and the general type of activities contained in the proposed local program. Also announce in public notices the availability of the local program plan/application, describe the Community's previous CDBG performance (if any), and how the Community will collect, consider and maintain all oral and written comments received on the proposal;

e. it will adopt and follow a residential anti-displacement and relocation assistance plan which complies with Section 104 (d) of the Housing and Community Development Act of 1974, as amended, that at a minimum provides for the replacement of all low/moderate income dwelling units that are demolished or converted to a non-LMI housing use as a direct result of CDBG assistance, and a relocation assistance component;

f. it will comply with the requirements of Section 319 of Public Law 101-121 regarding government-wide restrictions on lobbying; and

g. with the exception of administrative or personnel costs, it will verify that no person who is an employee, agent, consultant, officer, or elected official or appointed official of state or local government or of any designated public agencies, or subrecipients which are receiving CDBG funding may obtain a financial interest or benefit, have an interest in or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect to CDBG activities.

Signature of Single Applicant or Lead Applicant of a Multi-Jurisdictional Application

Signature and Title of Chief Executive Officer   Unit of General Local Government   Date

Signature of Each Participating Applicant in a Multi-Jurisdictional Application

Signature and Title of Chief Executive Officer	Unit of General Local Government	Date
Signature and Title of Chief Executive Officer	Unit of General Local Government	Date
Signature and Title of Chief Executive Officer	Unit of General Local Government	Date
Signature and Title of Chief Executive Officer	Unit of General Local Government	Date

Signature of Developer, Executive Officer	Company	Date
Signature Agency, Executive Officer	Agency	Date

PUBLIC FACILITIES GRANT PROGRAM ACTIVITY DESIGNATION SHEET

1. **Activity Declaration**

   a. List the activities you will be doing in your proposed project: ______________

____

____

____

   b. Are all activities in the same group (see list below)? ___ Yes ___ No

PUBLIC FACILITIES ELIGIBLE ACTIVITY GROUPS (With maximum grant amounts)

(**Check box next to applicable activity group.)**

☐ **Activity Group 1 - $250,000**: Fire Stations

☐ **Activity Group 2 - $250,000**: **COMMUNITY FACILITIES GROUP:** Community, child, senior and health centers, libraries, sheltered workshops, homeless shelters, and piers/wharfs

☐ **Activity Group 3 - $100,000:** Projects involving removal of architectural barriers as a distinct stand-alone activity

☐ **Activity Group 4** - **$100,000:** Projects involving historic preservation as a distinct stand alone activity

☐ **Activity Group 5 - $50,000: PUBLIC WORKS/RECREATION GROUP:** Fire fighting equipment, salt/sand storage sheds, transfer stations, parks and recreational facilities, public works garages, dams.

2. **Multi-Jurisdictional Declaration**

a. Is this a multi-jurisdictional project? __ Yes __ No

b. If yes, which local government has been designated as the lead applicant? ____________

c. If yes, list all participating or benefiting local governments. ________________________

____

NOTE: Remember all participating or benefiting local governments must sign the Cover Sheet Certification Form.

3. **Location of Growth-Related Capital Investments (PL 776)**

   a. CDBG financed growth-related capital investments may only be made in specific locations as per title 30-A MRSA 4349 as listed below:

- A locally designated growth area as defined in an adopted comprehensive plan consistent with the Growth Management Act.
- In the absence of a consistent comprehensive plan:
- An area served by a public sewer system with the capacity to absorb the growth-related project
- A census-designated place
- A DOT urban compact area

Is the proposed project located in one of the above areas?   __ Yes __ No

Explain____

____

____

b. Projects not located in these four specific locations may receive funding under the following conditions.

- To remedy a threat to health and safety
- A project related to a commercial or industrial activity that due to its nature is typically located away from other development or relies on a particular natural resource for its operation. Examples might include sawmills, farms, or aquaculture.
- Industries that must be located near an airport, port, or railroad line
- A tourist or cultural facility that must be at or near a particular historic, cultural or natural site.
- Projects in communities that received grants from SPO within the previous two years to complete comprehensive plans
- Projects in communities that requested funds from SPO prior to January 1, 2000 to complete a comprehensive plan but did not receive a grant to assist in the preparation of a plan.
- Housing projects that serve persons with handicaps, foster children, homeless persons, and others as outlined in the law.
- A pollution control facility.
- A project with no feasible location within the four areas outlined in (a) or fitting any of the exceptions in (b), ***if*** DECD's commissioner certifies to the Land and Water Resources Council that unique needs of the agency require state funds for the project. A majority of the Land and Water Resources Council's membership must vote to approve the project.

Does the proposed project meet one of the above ***exceptions***?   __ Yes __ No

Explain ____

____

____

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Public Facilities Application

FIRE STATION CATEGORY

1. Applicant: ______________________________

   Name: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Chief Executive Officer: ______________________________
   Phone #/e-mail Address: ______________________________
   Contact Person: ______________________________
   Phone #/e-mail Address: ______________________________

2. Fire Department:

   Name of Department: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Name of Fire Chief: ______________________________
   Phone #/e-mail Address: ______________________________
   Is fire department a branch of town government? ___ Yes ___ No
   Number of active members in department? ______________________________

Amount of CDBG Program Request: $______________________

Total project cost: $____________

Applicants may not attach any additional information unless specifically instructed to do so in the Application.

REQUIRED RESPONSES

(Use only space provided)

Impact (30 points): Why is the project necessary? Conditions warranting construction of a new fire station or renovations to existing facility including building description, location, health and safety concerns, effect on response time, current ISO rating, space limitations, size and make up of service area and effect of current conditions on users, including LMI persons. **(You may attach one photo of the existing facility or proposed site.)**

Development of Strategy (30 points): Describe proposed new or renovated fire station including size, design factors, utilities, location and specific use of PF program funds; how the project will benefit the community with emphasis on effect on LMI users and alleviation of health and safety concerns; give a projected timeline for completion of the facility, list who will be responsible for project implementation and explain why the project is feasible. **(You may attach a preliminary drawing if available.)**

Project Leverage (20 points): Describe all other resources (local, state, federal, private) that will be contributed to the project, how they will enable the project to be completed and their current funding status. For additional in-kind contributions give estimated cash value and how that value was established. **(Attach the Matching Funds Table and all letters of commitment to the original and all six copies of the application)**

Citizen Participation (20 points): Describe how this project was identified and prioritized to be addressed; how citizens, community groups and project beneficiaries were involved in the development of this application and how involvement will continue during project implementation. Detail the use of any media (newspapers, radio, TV. etc.) the community will use to further public awareness. **(Attach required Public Hearing documentation to the original and all six copies of the application.)**

DO NOT USE MORE SPACE!

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Public Facilities Application

COMMUNITY FACILITIES GROUP

1. Applicant:

   Name: ____
   Street/PO Box: ____
   Town/City: ____
   Zip Code: ____
   Chief Executive Officer: ____
   Phone #/e-mail Address: ___________________________________
   Contact Person: ____
   Phone #/e-mail Address: ___________________________________

2. Developer/non-profit agency (if applicable)

   Name: ____
   Street/PO Box: ____
   Town/City: ____
   Zip Code: ____
   Chief Executive Officer: ____
   Phone #/e-mail Address: ___________________________________
   Contact Person: ____
   Phone #/e-mail Address: ___________________________________

Amount of CDBG Program Request: $________________

Total project cost: $___________

Applicants may not attach any additional information unless specifically instructed to do so in the Application.

REQUIRED RESPONSES

(Use only space provided)

Impact (30 points): Why is the project necessary? Conditions warranting construction of new facility or renovations to existing facility including age, location, health and safety concerns, size and make up of user base, and effect of current facility on users, including LMI persons. **(You may attach one photo of the existing facility or proposed site.)**

Development of Strategy (30 points): Describe proposed new or renovated facility including size, design factors, utilities, location and specific use of PF program funds; how the project will benefit the community with emphasis on LMI users and alleviation of health and safety concerns; give a projected timeline for completion of the facility, list who will be responsible for project implementation and explain why the project is feasible.
(You may attach a preliminary drawing if available.)

Project Leverage (20 points): Describe all other resources (local, state, federal, private) that will be contributed to the project, how they will enable the project to be completed and their current funding status. For additional in-kind contributions give estimated cash value and how that value was established. **(Attach the Matching Funds Table and all letters of commitment to the original and all six copies of the application.)**

Citizen Participation (20 points): Describe how this project was identified and prioritized to be addressed; how citizens, community groups and project beneficiaries were involved in the development of this application and how involvement will continue during project implementation. Detail the use of any media (newspapers, radio, TV. etc.) the community will use to further public awareness. **(Attach required Public Hearing documentation to the original and all six copies of the application.)**

DO NOT USE MORE SPACE!

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Public Facilities Application

REMOVAL OF ARCHITECTURAL BARRIERS

Please refer to Section 2. C. 3. (d) of the 2004 CDBG Program Statement to check on low/moderate income eligibility requirements for certain activities in this category.

1. Applicant:

   Name: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Chief Executive Officer: ______________________________
   Phone #/e-mail Address: ______________________________
   Contact Person: ______________________________
   Phone #/e-mail Address: ______________________________

2. Developer/non-profit agency (if applicable)

   Name: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Chief Executive Officer: ______________________________
   Phone #/e-mail Address: ______________________________
   Contact Person: ______________________________
   Phone #/e-mail Address: ______________________________

Amount of CDBG Program Request: $________________

Total project cost: $____________

Applicants may not attach any additional information unless specifically instructed to do so in the Application.

REQUIRED RESPONSES
(Use only space provided)

Impact (30 points): Why is the project necessary? Conditions warranting removal of architectural barriers, including age of facility, location, health and safety concerns, size and make up of user base, and effect of current facility on users, with emphasis on LMI persons. **(You may attach one photo of the existing facility.)**

Development of Strategy (30 points): Describe specific modifications that will result in the removal of architectural barriers including design factors and specific use of PF program funds; give a projected timeline for completion of the facility, list who will be responsible for project implementation and explain why the project is feasible.
(You may attach a preliminary drawing if available.)

Project Leverage (20 points): Describe all other resources (local, state, federal, private) that will be contributed to the project, how they will enable the project to be completed and their current funding status. For additional in-kind contributions give estimated cash value and how that value was established. **(Attach the Matching Funds Table and all letters of commitment to the original and all six copies of the application.)**

Citizen Participation (20 points): Describe how this project was identified and prioritized to be addressed; how citizens, community groups and project beneficiaries were involved in the development of this application and how involvement will continue during project implementation. Detail the use of any media (newspapers, radio, TV. etc.) the community will use to further public awareness. **(Attach required Public Hearing documentation to the original and all six copies of the application..)**

DO NOT USE MORE SPACE!

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Public Facilities Application
HISTORIC PRESERVATION

1. Applicant:

   Name: ____
   Street/PO Box: ____
   Town/City: ____
   Zip Code: ____
   Chief Executive Officer: ____
   Phone #/e-mail Address: ______________________________________
   Contact Person: ____
   Phone #/e-mail Address: ______________________________________

2. Developer/non-profit agency (if applicable)

   Name: ____
   Street/PO Box: ____
   Town/City: ____
   Zip Code: ____
   Chief Executive Officer: ____
   Phone #/e-mail Address: ______________________________________
   Contact Person: ____
   Phone #/e-mail Address: ______________________________________

Amount of CDBG Program Request: $_________________

Total project cost: $____________

Applicants may not attach any additional information unless specifically instructed to do so in the Application.

REQUIRED RESPONSES

(Use only space provided)

Impact (30 points): Why is the project necessary? State conditions warranting historic preservation activities, including age of facility, frequency of use, location, health and safety concerns, size and make up of user base, relationship to existing historic preservation ordinances or districts and effect of current facility on users.**:**
(You may attach one photo of the existing facility.)

Development of Strategy (30 points): Describe specific treatments or modifications that will result in the preservation of a historic and unique facility including design factors and specific use of PF program funds; how will the project benefit the community; give a projected timeline for completion of the facility, list who will be responsible for project implementation and explain why the project is feasible. **(You may attach a preliminary drawing if available.)**

Project Leverage (20 points): Describe all other resources (local, state, federal, private) that will be contributed to the project, how they will enable the project to be completed and their current funding status. For additional in-kind contributions give estimated cash value and how that value was established. **(Attach the Matching Funds Table and all letters of commitment to the original and all six copies of the application.)**

Citizen Participation (20 points): Describe how this project was identified and prioritized to be addressed; how citizens, community groups and project beneficiaries were involved in the development of this application and how involvement will continue during project implementation. Detail the use of any media (newspapers, radio, TV. etc.) the community will use to further public awareness. **(Attach required Public Hearing documentation to the original and all six copies of the application.)**

DO NOT USE MORE SPACE!

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Public Facilities Application
PUBLIC WORKS/RECREATION GROUP

1. Applicant:

   Name: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Chief Executive Officer: ______________________________
   Phone #/e-mail Address: ______________________________
   Contact Person: ______________________________
   Phone #/e-mail Address: ______________________________

2. Developer/non-profit agency (if applicable)

   Name: ______________________________
   Street/PO Box: ______________________________
   Town/City: ______________________________
   Zip Code: ______________________________
   Chief Executive Officer: ______________________________
   Phone #/e-mail Address: ______________________________
   Contact Person: ______________________________
   Phone #/e-mail Address: ______________________________

Amount of CDBG Program Request: $________________

Total project cost: $____________

Applicants may not attach any additional information unless specifically instructed to do so in the Application.

REQUIRED RESPONSES

(Use only space provided)

Impact (30 points): Why is the project necessary? State conditions warranting historic preservation activities, including age of facility, frequency of use, location, health and safety concerns, size and make up of user base, relationship to existing historic preservation ordinances or districts and effect of current facility on users.**:**
(You may attach one photo of the existing facility.)

Development of Strategy (30 points): Describe specific treatments or modifications that will result in the preservation of a historic and unique facility including design factors and specific use of PF program funds; how will the project benefit the community; give a projected timeline for completion of the facility, list who will be responsible for project implementation and explain why the project is feasible. **(You may attach a preliminary drawing if available.)**

Project Leverage (20 points): Describe all other resources (local, state, federal, private) that will be contributed to the project, how they will enable the project to be completed and their current funding status. For additional in-kind contributions give estimated cash value and how that value was established. **(Attach the Matching Funds Table and all letters of commitment to the original and all six copies of the application.)**

Citizen Participation (20 points): Describe how this project was identified and prioritized to be addressed; how citizens, community groups and project beneficiaries were involved in the development of this application and how involvement will continue during project implementation. Detail the use of any media (newspapers, radio, TV. etc.) the community will use to further public awareness. **(Attach required Public Hearing documentation to the original and all six copies of the application.)**

DO NOT USE MORE SPACE!

Community Development Block Grant Program

Matching Funds Table

Potential funding sources sought: Please enter the sources of funds that you intend to apply to this project (federal and state funding, bank loans, bonds, etc.). For all sources, please indicate the status of the commitment to the project at the time of this application. The three choices are: 1.) no contact has yet been made with the potential funding source 2.) contact has been made with the funding source but a commitment has not yet been received 3.) funds are currently committed for the project. Also, for borrowed funds or funds from bond sales, please state the term, interest rate, and any applicable revenue coverage or debt service reserve amount which is likely to be required by the lender or bond underwriters.

Source	Grant/Loan	Amount	(Please check the number below that relates to each funding source status as described above)			Terms of borrowing or bond sale
			1	2	3	

Letters of Commitment for all Matching Funds listed must be attached to this table.

Community Development Block Grant
Public Facilities Program

Budget Summary (Include Cash & In-Kind)

Cost Category	Column 1 CDBG	Column 2 Local	Column 3 State	Column 4 Utility	Column 5 Non-CDBG Federal	Column 6 Other	Column 7 Cost Category Total
Land Acquisition							
Legal Expenses							
Appraisals							
Relocation							
Demolition							
Site Work							
Architectural							
Engineering							
Administration							
Construction							
Materials							
Equipment							
Inspection							
Other (List)							
1.							
2.							
3.							
TOTAL COSTS							

Directions for Completing Budget Summary

1. For each applicable cost (cash and in-kind) in the Cost Category column, list the projected dollar amount for all applicable funding sources in columns 1-6.
2. List the total dollar amount for each cost category in column 7, Cost Category Total
3. Enter the total of all Cost Category amounts in column 7 in the TOTAL COSTS box directly under column 7.
4. **Submit a copy of this Budget Summary with the original and all six copies of the application.**

SUGGESTED PROCEDURES FOR CONDUCTING A SAMPLE SURVEY
TO DETERMINE WHETHER THE MAJORITY OF PERSONS IN A TARGET AREA
HAVE LOW- AND MODERATE-INCOMES

INTRODUCTION

This document was prepared by Community Planning and Development's Office of Program Analysis and Evaluation to assist staff in HUD's Field Offices, in States, and in localities to develop methods to determine whether a geographic area will meet CDBG program requirements related to low- and moderate-income benefit. In this paper, we assume that State or local CDBG staff without substantial research background will use survey research techniques to take this determination, and we identify the basic techniques for conducting a sample survey that will yield acceptable levels of accuracy.

The purpose of a sample survey is to ask questions of a portion of the population in order to make estimates about the entire population. If we ask proper questions of a randomly drawn sample of adequate size, we can be reasonable sure of the degree of accuracy of our overall estimates. In the survey that is discussed here, we are seeking to determine one thing – whether at least 51 percent of the persons living in a target area have low- and moderate-incomes.

The remainder of this paper is divided in to six major sections, each of which discusses a different major step in administering the survey. In order to obtain accurate results, it is necessary to complete each step properly. You must ask the right questions of the right people and interpret their answers correctly.

While this paper is to assist people without a background in survey research in conducting a successful survey of income, we would recommend trying to locate a source of experienced guidance before proceeding. For example, if there is a local college, a professor might be persuaded to conduct the survey as part of a course. At a minimum, perhaps such an individual or someone with a social science background in a county or areawide planning office will be willing to comment and make recommendations on key parts of procedures.

STEP 1: SELECTING THE TYPE OF SURVEY

Any type of survey that fulfills the criteria discussed below can be used to determine whether an area qualifies as low- and moderate-income. The most commonly used surveys for these applications are: (a) telephone surveys; (b) door-to-door surveys; and (c) mail surveys.

<u>Telephone surveys</u> are relatively easy to conduct. An interviewer just needs to call up, identify the head of the household, or someone competent and knowledgeable enough to answer for the head of household, and proceed with the interview. However, the steps that must be taken before you reach the point of telephoning may prove difficult. In a telephone survey, you must acquire the telephone numbers of all the households in your target area and devise a method of contacting households without telephones or those with unlisted numbers. It may be preferable to sample door-to-door in small target areas, such as a

neighborhood or small town, where it may be difficult to find a list of telephone numbers that identifies everyone in the area while excluding everyone outside the area.

Door-to-door surveys involve a little more work – the interviewers must actually go outside, knock on doors, and do the “leg work” necessary to obtain interviews. However, in small areas this type of survey may be the easiest because you can define the target area by its geographic boundaries and develop procedures for sampling within those boundaries so that no list of households in the area is needed beforehand.

Mail surveys may be the easiest of all. You need a list of all the addresses in the target area, a questionnaire, and postage. However, mail surveys usually yield a very low rate of response, which means a low degree of accuracy. Also, provisions must be made to provide non-English-speaking residents with a questionnaire in their own language. Thus, for estimating low- and moderate-income benefit, we do not recommend this type of procedure, unless you include in your mailing a stamped self-addressed return envelope and count on doing at least one follow-up letter or telephone call to encourage everyone to respond.

Of course, it is possible, and sometimes quite useful to combine these types of survey. For example, if in a door-to-door survey you find that someone is not home, you can leave a note for him or her to telephone the interviewer. Or you can use the telephone to schedule a time when an interviewer will call at the door to conduct an interview. Similarly, you can mail a letter to residents of the target area to let them know in advance when an interviewer will call or visit.

STEP 2: DEVELOPING A QUESTIONNAIRE

It is important that all of the individuals interviewed are asked exactly the same questions and that their responses are recorded correctly. To ensure this, you need a written questionnaire, and you need to have your interviewers write down on each questionnaire the exact responses of each respondent. Each question should be clear, written in simple language, and convey only one meaning. It is usually best to test a draft questionnaire on a few people to ensure that they understand the questions as you thing you are writing them.

The central question of this survey is whether the household being interviewed has an income that is below the low- and moderate-income level for households of the same size. We recommend in door-to-door interviewing that the interviewers carry with them a set of cards, one card each for the household sizes to be considered. On each card should be written the figure for the low- and moderate-income level for a household of that size. For example:

TABLE A
Illustration of Income Cards

Card Number	Persons in Household	Low/Mod Income Level
1	1	$19,800
2	2	$22,650
3	3	$25,450
4	4	$28,300
5	5	$30,050
6	6	$31,850

7	7	$33,600
8	8	$35,400

In proceeding, the interviewer first should make contact with someone who is qualified to speak for the household. After making contact with the head of the household, the spouse of the head of household, or someone in the household who is mature and knowledgeable about household income, the interviewer should introduce him/herself, identify the purpose of the study, and solicit the participation of the respondent.

An adequate questionnaire must be able to provide answers to at least the following two questions:

1. How many people live in your home? (Record number.)

2. (If the interview is being conducted in person, the interviewer then finds the card for the household size of the respondent, and hands it to the respondent, and asks) Would you tell me whether, during the past twelve months, the total income of all members of your household has been above or below the figure noted on this card? (Record Above or Below.) (Note that the interviewer should be prepared to provide a consistent answer to the question, "What should I include as income?")

If the interview is being conducted by telephone, a card obviously cannot be used, and the interviewer should make reference to the income level that is the threshold for a household of the size of the respondent's. For example, if there are three persons in the respondent's household you might ask, "during the past 12 months, was the total income of your household less than or more than $25,450?"

While the necessary questions are brief and simple, there are some additional factors to take into account when designing this questionnaire. First, the questions used in the survey cannot be "loaded" or biased. In this particular case, the interviewer may not imply that the neighborhood will benefit or receive Federal funding if respondents say that they have low incomes. The questions must be designed to determine truthfully and accurately whether respondents have low- and moderate-incomes. It is permissible to note the reason for the survey is to gather information essential to support an application for funding under the State CDBG program or to undertake a CDBG-funded activity in the area.

Second, you should bear in mind that the questions about income are rather personal. Many people are suspicious or reluctant to answer questions about their incomes – especially if they do not see the reason for the question. A good way to handle this problem is usually to put questions about income at the end of a somewhat longer questionnaire; a local agency can use this questionnaire to gather some information on what the neighborhood sees as important needs or to gather feedback on some policy or project. At the end of such a questionnaire, it usually is possible to ask questions on income more discreetly. If this option is chosen, however, the interviewer should be cautioned that an excessively lengthy questionnaire might cause respondents to lose interest before it is over. The ideal length here would probably be less than ten minutes, although certainly you could develop an even longer questionnaire if it were necessary.

Of course, it is possible to ask only critical questions on income. You should know best how people in your community would respond to such questions. With a proper introduction that identifies the need for the information, you can generate an adequate level of response with just a two-question questionnaire on income level.

STEP 3: SELECTING THE SAMPLE

In selecting the sample of households to interview so that you can estimate the proportion of all individuals who have low- and moderate-incomes, there is a series of steps that must be taken. First, you must define the group whose characteristics you are trying to estimate. Then you must determine how many households in that group must be sampled in order to estimate the overall characteristics accurately. Next you must make some allowances for households whom, for whatever reason, you will not be able to interview. And finally you must actually select the households where you will try to obtain interviews. This section discusses each of these steps.

Defining the Universe. In sampling, the large group whose characteristics you seek to estimate from a sample is known as the universe. If you are trying to determine the proportion of households in a neighborhood with low- and moderate-incomes, that neighborhood is the universe. Instead of a neighborhood, the universe may be a town, it may be as large as a county, or it may be defined some other way. (For purposes of the CDBG program, your universe will be the area that is to be served by a CDBG-funded project.) But before you can draw a sample, you must clearly define what area you want the sample to represent. Let us assume here that the universe is a neighborhood that contains about 400 homes. You will sample from the 400 households residing here so that you may make estimates about the incomes of all the residents of these households.

When you have defined your universe, you next need a method of identifying the individual members of that area so that you can sample them. Ideally, for a given neighborhood, you would have a list of people living in the neighborhood and perhaps their telephone numbers. Then you would devise a procedure to select randomly the persons you wanted to interview. In reality, you will not have such a list available and you probably will not even have a list of all the households in the neighborhood, so you will have to improvise a little. One way would be to go to the neighborhood and randomly select which homes to go for an interview – the advantage of this method is that the houses are there, so you can go right to them instead of using a list. After collecting information on the various households, you then can make some estimates about the people in the neighborhood and their incomes.

For larger area where travel costs are higher, it may not be practical to go door-to-door and a list of some sort may be absolutely necessary City indexes, if available and up-to-date, usually provide the best source of household information suitable for sampling. Telephone books may be adequate, but keep in mind that you will miss people without telephones or with unlisted numbers. Also, telephone directories usually will have far more people listed than those who are in your defined universe, so you will need to work to eliminate those outside of your target area. Tax rolls are a source identifying addresses in an area, but keep in mind that they identify property owners, whereas your are interested in residents. Also, tax rolls generally identify building addresses, whereas in the case of apartment buildings you are interested in the individual apartments. You can use tax rolls to identify addresses to go to in order to get an interview, but you cannot use them as a basis of a mail or telephone survey (unless you have access to a telephone directory that identifies telephone numbers by property address.)

How big a sample? After you have defined your universe and identified a method of identifying individual households in the universe, you must next determine how many households to select. Assuming that you develop procedures whereby every household in your target area has an equal chance of being included in your sample, you can use Table B below to determine how many households you need to interview to develop a survey acceptable accuracy.

The first column of Table B presents size of neighborhoods you may be interested in. The second column shows about how many households you need to interview from a neighborhood of the size indicated in the first column. This paper uses the hypothetical 400 household neighborhood to illustrate the use of this table. Looking down the column that says "Number of households in the Universe," you find 400 is covered by the "399-650" line. Reading across this line, you see that the sample size required to generate an acceptable level of accuracy is about 250. (See the attached Appendix B for a discussion of how these sample sizes were determined.)

TABLE B
REQUIRED SAMPLE SIZED FOR UNIVERSES
OF VARIOUS SIZES

Number of Households in the Universe	Sample Size
1 – 55	50
56 – 63	55
64 – 70	60
71 – 77	65
78 – 87	70
88 – 99	80
100 – 115	90
116 – 138	100
139 – 153	110
154 – 180	125
181 – 238	160
239 – 308	175
309 – 398	200
399 – 650	250
651 – 1,200	300
1,201 - 2,700	350
2,701 or more	400

Unreachables and Other Non-Response. It is important to realize that the sample sizes suggested in Table B indicate the number of interviews that you need to complete, and not necessarily the size of the sample you need to draw. There is almost always a difference. No matter what you do, some households just will not be home during the time you are interviewing, some probably will refuse to be interviewed, some will terminate the interview before you finish, and some will complete the interview, but fail to provide an answer to the key question on income level. In order to be considered an adequate response, the interview must be conducted, and you must obtain complete and accurate information on the respondent's income level. Table C suggests some of the usual rates of response to be expected by a variety of surveys.

TABLE C
Expected Response Rates for
Different Types of Surveys

Survey Type	Expected Rate of Response
Mail	25-50%
Mail, with letter follow-up	50-60%
Mail, with telephone follow-up	50-80%
Telephone	75-90%
Door-to-door	75-90%

According to Table C, if you were doing a door-to-door sample to obtain 250 interviews in the 400 household neighborhood, you should anticipate that you would need to actually try to interview between 278 and 333 households (250 divided by .75 or .9). Thus, if you were drawing a list from whom to seek interviews, one way to deal with non-response is to oversample – list about 300 households and assume you will interview 250. In door-to-door surveys, it usually is possible to replace unreachables, by trying to obtain an interview next door to the household actually sampled.

Drawing Samples. In sampling you are looking at a portion of everyone in a group and making inferences about the whole group from the portion you are looking at. For those inferences to be most accurate, everyone who is in the group should have an equal chance of being included in the sample. For example, if you are sampling from a list, using a random numbers table (one is included as Appendix A) will provide you with a highly random sample. In using a random numbers table, you take a list of your universe and draw from it according to the table. If, for example, the first three random numbers were 087, 384, and 102, then you would go through your universe list and take the 87th, 384th, and 102nd households to try to interview. Continue until you have achieved the desired sample size.

As indicated above, when sampling from a list, you should oversample. Then, if you encounter unreachables, you should replace them with households in the oversample list in the order they were selected. For example, if you drew a list of 300 households in an effort to obtain 250 interviews, the first household you write off, as "unreachable" should be replaced by the 251st household sampled.

Achieving a purely random sample can be costly, so sometimes it is acceptable to take some shortcuts. If you do not have a list of all the households in a target area or group you are trying to measure, but you know the geographic boundaries of the target area, you might randomly select a point at which to start and proceed systematically form there. In the hypothetical 400 household neighborhood, for example, in trying for 250 interviews, you would need to interview every 1.6th household (400 divided by 250) to ensure that you would cover the entire neighborhood. In whole numbers, this works out to about 2 of every 3 households. Therefore, you could start at one end of the neighborhood and proceed systematically through the entire neighborhood trying two doors and skipping one. Any households that were selected by this procedure at which an interview was not possible could be replace by the next household you would have skipped. If the sample size called for you to sample one of every six households, you could draw a random number from one to six and start at that household and every sixth household after it, and replace unreachables with every third household in the six household groups.

You will achieve more accurate estimates if you are not too quick to write off a household as unreachable. You are most certain of randomness if you obtain interviews from the households you selected first. Thus, if you are doing a door-to-door survey, you probably should make two or more passes through the area (possible at different times) to try to catch a family at home. Frequently they will be busy, but will say that they can do the interview later – you should make an appointment and return. Only after at least two tries or an outright refusal should a sampled household be replaced. With a telephone survey, at least three or four calls should be made before replacing a household.

STEP 4: CONDUCTING THE SURVEY

To carry out the survey, you have to reproduce sufficient questionnaires, recruit and train interviewers, schedule the interviewing, and develop procedures for editing, tabulating, and analyzing the results.

Publicity. To promote citizen participation in your effort it may prove worthwhile to arrange some advance notice. A notice in a local newspaper or announcements at churches or civic organizations can let people living in your target area know that you will be conducting a survey to determine area income levels. If you let people know in advance how, when, and why you will conduct them, usually they are most willing to cooperate.

As with all aspects of the survey and questionnaire, any publicity must be worded so that it does not bias the results. For example, it is fine to say that the community is applying for a State CDBG grant and that, as part of the application, the community has to provide HUD and the State with current estimates of the incomes of the residents of the target neighborhood. It is not appropriate to say that, in order for the community to receive the desired funding, a survey must be conducted to show that most of the residents of the target area have low- and moderate-incomes.

Interviewers. Anyone who is willing to follow the established procedures can serve as an interviewer. It usually is not necessary to go to great expense to hire professional interviewers. Volunteers from local community groups will serve well. Also, schools, or colleges in doing courses on civics, public policy or survey research frequently may be persuaded may be persuaded to assist in the effort as a means of providing students with practical experience and credit.

Generally, it is best if interviewers are chosen to make the respondents feel most at home. For this reason, survey research companies often employ mature women as their interviewers. When interviewers are of the same race and social class as the responded, the survey usually generates a better response rate and more accurate results. What is most important, though, is that the interviewer will command the attention of the respondent, ask the questions as they are written, follow respondent selection procedures, and write down the responses as given.

Contact and Follow-up. Interviewers should attempt to contact respondents at a time when they are most likely to get a high rate of response from most types of people. Telephone interviews usually are conducted early in the evening, when most people or home. Door-to-door interviews also may be conducted early in the evening (especially before dark) or on weekends. You should try again at a different time to reach anyone in the initial sample who is missed by this initial effort.

In general, you should know best the residents of your community and when they can be reached. What you should avoid is selecting a time or method that will yield biased results. For example, interviewing only during the day from Monday to Friday probably will miss families where both the husband and wife work. Since these families may have higher incomes than families with only one employed member, your timing may lead to the biased result of finding an excessively high proportion of low- and moderate-income households.

Of course, in making contact with a member of the household, the interviewer first has to determine that the person being interviewed is knowledgeable and competent to answer the questions being asked. The interviewer thus should ask to speak to the head of the household or the spouse of the head of the household. If it is absolutely necessary to obtain an interview at the residence sampled, the interviewer may conduct an interview with other resident adults or children of at least high school age only after determining that they are mature and competent to provide accurate information.

As pare of your questionnaire, or at least as part of your training of interviewers, you should develop an introduction to the actual interview. This should be a standard introduction in which the interviewers introduce themselves, identify the purpose of the survey, and request the participation of the respondent. Usually it is also a good idea to not the expected duration of the interview – in this case to let respondents know that the burden to them will be minimal.

You also should emphasize to respondents that their answers will be kept confidential – people are more likely to give you honest answers if they will remain anonymous. You should do your very best to maintain this confidentiality. Usually, the respondent's name, address, and telephone number appear only on a cover sheet. After you complete the survey, you can throw away the cover sheet or at least separate it from the actual interview. If you number both the cover sheets and the questionnaires, you can then match them up if absolutely necessary. What is important is that people will not just be able to pick up a questionnaire and see what the Jones family income is.

Interviewers also should follow the set procedures for replacing "unreachables" (as discussed above in Step 3). If they must write off an interview, they should not say, "Well, I was refused an interview here, so I'll go over there when I think I can get an interview." This replacement procedure is not random and will hurt the accuracy of your survey results.

The Interview. Interviewers should read the questions exactly as they are written. If the respondent does not understand the question or gives an unresponsive answer, it usually is best to have the interviewer just repeat the question. Questions should be read in the order in which they are written. The respondent's answers should be recorded neatly and accurately immediately as they are provided. At the end of the interview, and before proceeding to the next interview, the interview should always do a quick edit of the questionnaire to be sure that they have completed every answer correctly. This simple check helps to avoid the frustrating mistake of having gone to the time and expense of conducting the interview, but without getting the information you sought.

For the survey here being discussed on low- and moderate-income benefit, note that there may be an important exception to reading the questions in the exact order every time. If you elect to include other questions, and if you place the questions on income at the end, it is possible that a willing respondent will end the interview before you get to the critical question. If it appears to the interviewer that the respondent is about to terminate the interview, it is recommended that he or she immediately try to get an answer to the critical income question.

Editing. Interviewers should turn their completed surveys in to the person who will tabulate and analyze them. That person should review each survey to ensure that it is complete and that each question is answered once and only once in a way that is clear and unambiguous. Question or errors that are found should be referred to the interviewer for clarification. It also may be desirable to call back the respondent, if necessary, to clarify incomplete or ambiguous responses. Note that editing is an ongoing process. Even after you have started to tabulate or analyze the data, you may come across errors, which you need to correct.

STEP 5: DETERMINING THE RESULTS

After you have your data collected and edited, you just need to add up the numbers to see what you have learned. Actually, it is useful to think of this in two parts: (1) tabulating up the responses from the questionnaires and calculating an estimated proportion of low- and moderate-income persons; and (2) determining how accurate that estimate is. The first of these parts can be taken care of by completing the LOW- AND MODERATE-INCOME WORKSHEET, which appears below.

Tabulation. For ease of processing, it may be desirable to enter the responses on to a computer, if one is available. Personal computer packages such as dBase, Lotus 1-2-3, and SPSS-PC all are easy to use in tabulating this type of data. Computers also make it relatively easy to check for accuracy and consistency in the data. However, you can perform the calculations by hand or with a calculator. And you can process the data by putting it on a codesheet, by entering it on a manual spreadsheet, or just by flipping through the completed surveys. Regardless of how you process and tabulate the data, when you are finished you must be able to complete Part A of the LOW- AND MODERATE-INCOME WORKSHEET.

LOW- AND MODERATE-INCOME WORKSHEET

PART A. INFORMATION CONTAINED IN YOUR SURVEY

1.	Enter the estimated total number of households in the target area.	1. 650
2.	Enter the total number of households interviewed.	2. 250
3.	Enter the total number of low- and moderate-income households interviewed.	3. 130
4.	Enter the total number of persons living in the low- and moderate- income households interviewed.	4. 450
5.	Enter the total number of households interviewed in which the income was above the low- and moderate-income level.	5. 120
6.	Enter the total number of persons living in the households in which the income was above the low- and moderate-income level.	6. 400

PART B. CALCULATIONS BASED ON DATA CONTAINED IN YOUR SURVEY

7.	Divide Line 4 by Line 3. (This is the average size of the low-mod household you interviewed.)	7. 3.46
8.	Divide Line 6 by Line 5. (This is the average size of non low-mod household you interviewed.)	8. 3.33
9.	Divide Line 3 by Line 2. (This is the proportion of households interviewed that have low- and moderate-incomes.)	9. 52%
10.	Divide Line 5 by Line 2. (This is the proportion of households interviewed that do not have low- and moderate-incomes)	10. 48%
11.	Multiply Line 1 by Line 9. (This is the estimate of the total number of low-mod households in your target area)	11. 333
12.	Multiply Line 1 by Line 10. (This is the estimate of the total number of number non-low-mod households in your target area)	12. 312
13.	Multiply Line 7 by Line 11. (This is the estimate of the total of low-mod persons in your target area)	13. 1,169
14.	Multiply Line 8 by Line 12. (This is the estimate of the total number of non-low-mod persons in your target area)	14. 1,039
15.	Add Line 13 and Line 14. (This is the estimate of the total number of persons in your target area)	15. 2,208
16.	Divide Line 13 by Line 15 and multiply the resulting decimal by 100 (This is the estimated percentage of persons in your target area that	16. 52.94%

SAMPLE

has low- and moderate-incomes)

PART C. Instructions and Explanations

1. The number that goes on Line 1 is something you needed to know before drawing your sample. In the course of your survey, you may have refined your original estimate. On Line 1, you should enter your current best estimate of the total number of households in the area.

2. For the number of households interviewed, you actually want the total number of interviews with complete and, as far as you can tell accurate information on the income and size of household questions.

3. When you are completing Part A be sure that the answers are logical. For example, the number of Line 4 cannot be smaller than the number on Line 3 (because every household must have at least one person). Similarly, the number on Line 6 cannot be less than the number on Line 5. Also note that the number on Line 3 plus the number on Line 5 should equal the number on Line 2 – every household is either low- and moderate-income or it is not.

4. Some examples for Part B. For purposes of illustration, assume that you estimated that the target area contained 650 households (Line 1). Assume that you interviewed 250 households (Line 2), of whom 130 had low- and moderate-incomes (Line 3). These low-and moderate-income households contained 450 persons (Line 4). The 120 households with incomes above the low- and moderate-income level (Line 5) contained 400 persons (Line 6). You would complete Part B as follows:

Line 7. If the households you interviewed contained 450 low-mod persons in 130 households, the number on Line 7 would be about 3.46 (450/130).

Line 8. If the households you interviewed contained 400 non-low-mod persons in 120 households, the number on Line 8 would be about 3.33 (400/120).

Line 9. If you interviewed a total of 250 households, 130 of which had low- and moderate-incomes, the number on Line 9 would be about .52 (130/250).

Line 10. If 120 of the 250 households you interviewed did not have low- and moderate-incomes, the number on Line 10 would be about .48 (120/250).

Line 11. If your target area contained an estimated 650 households, and you interviewed 250, of which 130 had low- and moderate-incomes, the number on Line 11 would be about 333 (650 X .52).

Line 12. Continuing with the example, Line 12 would be about 312 (650 X .48).

Line 13. 3.46 persons per low-mod household times 338 low-mod households – Line 13 would be about 1,169.

Line 14. 3.33 persons per non-low-mod households time 312 non-low-mod households – Line 14 would be about 1,039

Line 15. Total low-mod persons (1,169) plus total non-low-mod persons (1,039) would be about 2,208 estimated total persons.

Line 16. 1,169 low-mod persons divided by 2,208 total persons yields about .5294. Multiplied by 100, this gives an estimate that about 52.94 percent of the residents have low- and moderate-incomes.

Analysis. The estimate you reach for the proportion of residents who have low- and moderate-incomes will be just that – an estimate. If you have done everything right, including random selection of the required number of households, the estimate should be reasonable accurate. If, using the procedures specified here you come up with an estimate of 55 percent or more of the residents of the target area having low- and moderate-incomes, you can be pretty sure that at least 51 percent of the residents actually have low- and moderate-incomes. You can skip over this section, and go down to STEP 6. On the other hand, if your estimate is that less than 51 percent of the people in the area have low- and moderate-incomes, the presumption is that the area is ineligible as a target area. This section, and if fact, the remainder of this paper, probably will not be of much use to you either.

This section is intended for use by those whose survey results indicate that somewhere between 51 and 54 percent of the residents of the target area have low- and moderate-incomes. If your estimates were in the 51-54 percent range, it is probable that a majority of all neighborhood residents have low- and moderate-incomes, but there is less certainty than if you came up with a higher proportion. The closer you estimate is to 51 percent, the less certain you become that the area is low- and moderate-income.

There are a couple of additional analyses you can make to help determine the extent to which your estimate of the proportion of low- and moderate-income residents is correct. First, compare the average size of low- and moderate-income households in your sample with the average size of above low- and moderate-income households. The closer these figures are to each other, the more confident you can be in your estimate. Thus, if you estimate that 53 percent of the residents have low- and moderate-incomes and you found in your sample that both low- and moderate-income families and above low- and moderate-income families had an average of 3.4 people, you can be pretty sure that it is a low- and moderate-income area.

A second simple calculation is to arrange your data into a table such as that outline below as Table D. This table enables you to compare the distribution of family sizes with low- and moderate-incomes with those that are above low- and moderate-income.

In completing Table D, you would count the number of low- and moderate-income families in your survey that had just one person in the household. You would enter this figure under "number" across from "one." You would proceed to enter the number of low- and moderate-income families with two persons, with three persons, and so forth through the "nine or more" category. Adding up all the entries in this column, you enter the sum across from "total," which will be the total number of low- and moderate-income families from which you obtained interviews. Then, considering families that are above low- and moderate-income, you follow the same procedures to complete the "number" column for them. For each income group, dividing the number of one person families by the total number of families in that income group and multiply it by 100, yields the percent of that group that are in one-person households. You should fill in the "percent" columns, using this procedure. Each of the percent columns should total to 100 or so allowing for rounding errors.

TABLE D
TABLE FOR COMPARING THE DISTRIBUTION OF
FAMILY SIZE BY FAMILY INCOME

Number or Persons In the Family	Families With Low- and Moderate-Incomes Number	Percent	Families Above Low- and Moderate-Incomes Number	Percent
One				
Two				
Three				
Four				
Five				
Six				
Seven				
Eight				
Nine or more	_____	_____	_____	_____
Totals		100%		100%

When you have filled Table D with your data, compare the percentages of the low- and moderate-income respondents with the percentages of the above low- and moderate-income respondents for each family size. The closer the distribution, the greater the degree of confidence you can have in your estimate of the proportion of persons with low- and moderate-incomes. For example, if among your low- and moderate-income group, 10 percent have one person, 40 percent have two persons, and 50 percent have three persons, and among your above low- and moderate-income group 12 percent have one person, 41 percent have two persons, and 47 percent have three persons, you would have a great deal of confidence in your estimate.

Consider a best-case scenario where you estimate that 51 percent of the residents have low- and moderate-incomes. You examine the distribution of household sizes according to Table D and find that in your sample 100 percent of your low- and moderate-income group had just one person and 100 percent of your above low- and moderate-income group had nine or more persons (Yes, this would be a strange neighborhood). This distribution would make it probable that your sample was badly distributed in favor of large above-lower income families and that without the sample error the actual distribution in the target area is that more then 51 percent of the residents have low- and moderate-incomes.

Third, after completing data collection, non-respondents should be briefly analyzed to determine that they were reasonable random. For example, you may want to tabulate the rate of response by street or block in the target area to see whether there are notable gaps in the coverage of your survey. You may want to examine the racial or ethnic background of your respondents and compare them with what you supposed the distribution to be. If you do not detect any major gaps in the coverage of your sample or any probable patterns in the characteristics of your non-respondents, you can be more certain of the accuracy of your estimates.

STEP 6: DOCUMENTING YOUR EFFORT

The results of your survey will indicate to you with a high degree of accuracy whether your target area is predominantly low- and moderate-income. People who may be auditing or evaluating the program may want to review the procedures and data you used to determine that your target area qualifies under the CDBG program regulations. You should therefore maintain careful documentation of the survey. The contents of that documentation are discussed here.

1. Keep the competed surveys. This will show that you actually did the survey and that you asked the proper questions.

   It is best if each survey has a cover sheet that contains the information that identifies the respondent, such as name, address, and telephone number. Then, when the survey is complete, the cover sheet can be separated from the questionnaires. You can save the questionnaires as documentation of your work, but you maintain the privacy of your respondents.

   If you save the cover sheets and save them separately, this provides you with a record of who was contacted. If anyone wanted subsequently to verify that you had not made up that data, they could contact some of the respondents noted on the cover sheet and ask them whether, in fact, they had been contacted on such-and-such a date by such-and-such a person to discuss matters related to community development. The privacy of their original responses still is protected by this procedure.

2. Keep a list of the universe of households you sampled from and a list of the actual households sampled. This might be one list with the sampled households being checked once they were sampled, and checked twice if they were interviewed. Replacement households should be noted too. There should be some written documentation about the method you used to select households from the list for interviewing. Note that this is a little different from keeping just the cover sheets, since it documents not just who was interviewed, but also who was not interviewed and how interviewees were selected.
   If you did a door-to-door sample without starting from a universe list, you should have written down the procedures you used to select the sample, including the instructions to interviewers for replacing sampled households who were interviewed.
3. To the extent possible, you should retain your data. If you put the data onto a computer, keep a floppy disk with the data and programs you used to tabulate the results. If you do your tabulations from spreadsheets, retain the spreadsheets. If you just leaf through the questionnaires and count up the responses and enter then into a table as your go, keep the tables with the raw data counts.

OVERVIEW OF STEPS IN A SAMPLE SURVEY

Step 1: Selecting the Type of Survey

a. Decide whether it is best to conduct a telephone, door-to-door, or other types of survey. Be sure to consider your available manpower, the size of the sample you need, and the means you have available for identifying households to interview.

Step 2: Developing a Questionnaire

a. Write your questionnaire. Remember to keep the language as simple as possible. Avoid bias – do not encourage particular answers. Include other questions, if you like, but make sure the survey does not take too long.

b. Develop a standard introduction for your interviewers to use in approaching the respondents.

Step 3: Selecting the Sample

a. Define your universe. What is the area or population for which you are trying to estimate the portion of persons who have low- and moderate-incomes.

b. Identify a procedure for identifying individual households in the target area. Obtain a complete list of residents, addresses, telephone numbers, or identify a procedure for selection from all of the homes in the area.

c. Determine the number of interviews you need to achieve an acceptable level of accuracy.

d. Select your sample (or sample selection procedure). Make sure you can add households to replace refusals. Make sure that the entire universe is covered – that is, that you have not excluded certain areas or groups of people.

Step 4: Conducting the Survey

a. Select and train your interviewers. Make sure they are very comfortable with the questionnaire. Make sure they know the importance of randomness and how to select and replace individual households.

b. Make contact with the sample. Write or phone and let them know you are coming. Or just knock on doors, if this is the procedure you select.

c. Try again (and again) where contact has not resulted in an interview.

d. Replace household you have written off as "unreachable."

Step 5: Determining the Results

a. Complete the Low- and Moderate-Income Worksheet. What is your estimated percent low- and moderate-income residents? If you results are between 51 and 60 percent, do your data give you any reason to think that this is an over-estimation?

Step 6: Documenting Your Effort

a. Save the completed questionnaires – preferably in a form that does not identify the respondents.

b. Save a list of the respondents – preferably in a form that does not identify their responses.

c. Save a list of your sampling procedures – this includes your universe list, your original sample, you replacements, your sampling method, and your replacement method.

d. Save your data.

APPENDIX A
REQUIRED SURVEY SUBMISSIONS

1. *Survey Methodology and Certification Form* ***with Required Signatures***

2. **Low - and Moderate-Income Worksheet**

3. **Beneficiary Profile (for Public Facilities and Public Infrastructure)**

Communities implementing Public Facilities and Public Infrastructure programs must record demographic information for all households contained in a target area or entire community depending upon the area served by the CDBG activity. This information must be recorded on the **Beneficiary Profile** and be submitted with the survey materials required at the CDBG application submission. The demographic information is garnered from local survey forms or, for HUD listed 51% LMI communities, from U.S. Census Data. You may access this data for your community online at **http://www.census.gov/prod/cen2000/dp1/2kh23.pdf**

STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT

Survey Methodology and Certification Form
(Attach a map for all target area surveys)

Community: ____________________________ Date: _______________________

Type of Survey: □ Single Community □ Multi-Community □ Target Area

Description of Survey Area: ____

For Single Community or Multi-Community surveys list the original percentage of low-to–moderate-income persons according to the 2000 U.S. Census and HUD. ___________%

Survey Method: □ Door to Door □ Telephone □ Mail □ Other

If other, explain: ____

Universe Size: ______________ (Households) Sample Size: _______________ (Households)

Date Survey Conducted: From _________________ to _________________
MONTH/DATE/YEAR MONTH/DATE/YEAR

Survey conducted by: ____

Relationship to Community: ____

Survey Narrative
(Describe how the survey was conducted, including details on methodology for selection of random sample, publicity, data collection, system for dealing with non-respondents and tabulation of results and certification process.

____
____
____
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Attach Additional Sheets as Necessary

Certifications

We, the undersigned certify that the information contained in this survey is true and complete to the best of our knowledge and belief, and that the State of Maine, Department of Economic and Community Development, the United States Department of Housing and Community Development or their designees are hereby authorized to verify the information contained herein, as necessary or appropriate.

<u>Signature of Independent Verifier</u>
Must be a CDBG Certified Administrator from a Regional Planning Commission or Statistician for the Maine State Planning Office

Date: ___________________________________

____

Authorized Signature   Printed Name and Title

<u>Adoption by Local Board or Council</u>

DATE ADOPTED: ______________________   Municipal Seal

AUTHORIZED SIGNATURES

Name	**Date**
Name	**Date**
Name	**Date**
Name	**Date**
Name	**Date**

LOW- AND MODERATE-INCOME WORKSHEET

PART A. INFORMATION CONTAINED IN YOUR SURVEY

1. Enter the estimated total number of households in the target area. 1. _______

2. Enter the total number of households interviewed. 2. _______

3. Enter the total number of low- and moderate-income households interviewed. 3. _______

4. Enter the total number of persons living in the low- and moderate-income households interviewed. 4. _______

5. Enter the total number of households interviewed in which the income was above the low- and moderate-income level. 5. _______

6. Enter the total number of persons living in the households in which the income was above the low- and moderate-income level. 6. ______

PART B. CALCULATIONS BASED ON DATA CONTAINED IN YOUR SURVEY

7. Divide Line 4 by Line 3. (This is the average size of the low-mod household you interviewed.) 7. ______

8. Divide Line 6 by Line 5. (This is the average size of non low-mod household you interviewed.) 8. ______

9. Divide Line 3 by Line 2. (This is the proportion of households interviewed that have low- and moderate-incomes.) 9. ______

10. Divide Line 5 by Line 2. (This is the proportion of households interviewed that do not have low- and moderate-incomes) 10. ______

11. Multiply Line 1 by Line 9. (This is the estimate of the total number of low-mod households in your target area) 11. ______

12. Multiply Line 1 by Line 10. (This is the estimate of the total number of non-low-mod households in your target area) 12. ______

13. Multiply Line 7 by Line 11. (This is the estimate of the total number of low-mod persons in your target area) 13. ______

14. Multiply Line 8 by Line 12. (This is the estimate of the total number of non-low-mod persons in your target area) 14. ______

15. Add Line 13 and Line 14. (This is the estimate of the total number of persons in your target area) 15. ______

16. Divide Line 13 by Line 15 and multiply the resulting decimal by 100. (This is the estimated percentage of persons in your target area that has low- and moderate-incomes) 16. ______

PART C. Instructions and Explanations

1. The number that goes on Line 1 is something you needed to know before drawing your sample. In the course of your survey, you may have refined your original estimate. On Line 1, you should enter your current best estimate of the total number of households in the area.

2. For the number of households interviewed, you actually want the total number of interviews with complete and, as far as you can tell accurate information on the income and size of household questions.

3. When you are completing Part A be sure that the answers are logical. For example, the number of Line 4 cannot be smaller than the number on Line 3 (because every household must have at least one person). Similarly, the number on Line 6 cannot be less than the number on Line 5. Also note that the number on Line 3 plus the number on Line 5 should equal the number on Line 2 – every household is either low- and moderate-income or it is not.

4. Some examples for Part B. For purposes of illustration, assume that you estimated that the target area contained 650 households (Line 1). Assume that you interviewed 250 households (Line 2), of whom 130 had low- and moderate-incomes (Line 3). These low-and moderate-income households contained 450 persons (Line 4). The 120 households with incomes above the low- and moderate-income level (Line 5) contained 400 persons (Line 6). You would complete Part B as follows:

Line 7. If the households you interviewed contained 450 low-mod persons in 130 households, the number on Line 7 would be about 3.46 (450/130).

Line 8. If the households you interviewed contained 400 non-low-mod persons in 120 households, the number on Line 8 would be about 3.33 (400/120).

Line 9. If you interviewed a total of 250 households, 130 of which had low- and moderate-incomes, the number on Line 9 would be about .52 (130/250).

Line 10. If 120 of the 250 households you interviewed did not have low- and moderate-incomes, the number on Line 10 would be about .48 (120/250).

Line 11. If your target area contained an estimated 650 households, and you interviewed 250, of which 130 had low- and moderate-incomes, the number on Line 11 would be about 333 (650 X .52).

Line 12. Continuing with the example, Line 12 would be about 312 (650 X .48).

Line 13. 3.46 persons per low-mod household times 338 low-mod households – Line 13 would be about 1,169.

Line 14. 3.33 persons per non-low-mod households time 312 non-low-mod households – Line 14 would be about 1,039

Line 15. Total low-mod persons (1,169) plus total non-low-mod persons (1,039) – Line 15 would be about 2,208 estimated total persons.

Line 16. 1,169 low-mod persons divided by 2,208 total persons yields about .5294. Multiplied by 100, this gives an estimate that about 52.94 percent of the residents have low- and moderate-incomes.

BENEFICIARY PROFILE – (PI and PF Programs)

STATE OF MAINE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

1. Community: ________________________________

2. Name of Target Area: ________________________________ (If community-wide, state "same as above")

3. Description of Target Area: ____

____

____

4. POPULATION

a. Total Population ____________

b. Total Low/Moderate Income Persons____________

c. Total Non-Low/Moderate Income Persons_____________

d. Total % Low/Moderate Income Persons_____________

5. RACE (INDICATE TOTALS)

a. White_______

b. Black/African American_______

c. Asian______

d. Native Hawaiian/Other Pacific Islander______

e. American Indian/Alaskan Native____

f. Asian & White______

g. Am Indian/Alaskan Native & White____

h. Black/African American & White_____

i. American Indian/Alaskan Native & Black/African American______

6. HOUSEHOLD INFORMATION

a. Total Number of Elderly____________

b. Total Number of Severely Disabled____________

c. Total Female Heads of Households____________

Date Submitted: _________________________________

Authorized Signature: _____________________________ **Title:** ______________________

Instructions for completing the Beneficiary Profile

Line 1	State name of community.
Line 2	Give name of target area; state "same as above if community-wide.
Line 3	Give a brief description of target area.
Line 4a	In regard to a target area; use the survey results to determine the total population in the service area. In regard to the entire Town or City being the target area, use the latest census information.
Line 3b	In regard to a target area; use the survey results to determine the total number of Low/Moderate Income persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 3c	In regard to a target area; use the survey results to determine the total number of Non-Low/Moderate Income persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 3d	In regard to a target area; use the survey results to determine the total percent of Low/Moderate Income persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5a	In regard to a target area; use the survey results to determine the total number of White, not Hispanic persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5b	In regard to a target area; use the survey results to determine the total number of Black/African American persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5c	In regard to a target area; use the survey results to determine the total number of Asian persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5d	In regard to a target area; use the survey results to determine the total number of Native Hawaiian/Other Pacific Islander persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5e	In regard to a target area; use the survey results to determine the total number of American Indian/Alaskan Native in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5f	In regard to a target area; use the survey results to determine the total number of Asian & White persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5g	In regard to a target area; use the survey results to determine the total number of American Indian/Alaskan Native & White persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5h	In regard to a target area; use the survey results to determine the total number of Black/African American & White persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 5i	In regard to a target area; use the survey results to determine the total number of American Indian/Alaskan Native & Black/African American persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 6a	In regard to a target area; use the survey results to determine the total number of Elderly persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 6b	In regard to a target area; use the survey results to determine the total number of severely disabled persons in the service area. In regard to the entire Town/City being the target area, use the latest census information.
Line 6c	In regard to a target area; use the survey results to determine the total number of Female Heads of Households in the service area. In regard to the entire Town/City being the target area, use the latest census information.

APPENDIX B
DISCUSSION OF SAMPLE SIZES

Samples of the sizes suggested in Table B on Page 6 of this paper are intended to provide an estimate of the proportion of households that say they have low- and moderate-incomes that will be with +/- 5 percent of the proportion that all households in the area would indicate if all were interviewed. Thus, if you interviewed 200 randomly selected households from a 250 household neighborhood and 70 percent indicated that they have low- and moderate-incomes, you could reasonably infer that if you interviewed all 350 households that between 65 and 75 percent of the households would say that they had low- and moderate-incomes.

In the survey being discussed in this paper the confidence interval probably will be a little less than +/- 5 percent. The method here is to estimate the proportion of <u>people</u> who are income-eligible, not the proportion of <u>households</u>. Following the procedures outlined here will result in sampling a fraction of people that is approximately equal to the fraction of households that would be sampled by following Table B (number of people sampled/total number of people = number of households sampled/total number of households). Other things being equal, if you increase the size of your universe and maintain the same sampling fraction, your confidence interval decreases.

Of course, in this application, other things may not be equal. By sampling households as a cluster for gathering data on individuals, we are departing from a purely random selection of individuals. Thus, the actual confidence can be calculated only after the data actually are collected and the variance on household size and income are analyzed. The actual confidence interval should be a little less than +/- 5 percent. But we also included an "analysis" section in the paper to help in determining the extent to which it may be less than +/- 5 percent.

SLUM AND BLIGHT

A definition of a slum and blighted area can be found in the MRSA Title 30-A, Chapter 205, 5202. The following definition of a blighted area will serve as a starting point in determining if the proposed area in your community may qualify under this national objective.

A. **An area in which there is a predominance of buildings or improvements which are conducive to ill health, the transmission of disease, infant mortality, juvenile delinquency or crime and are detrimental to the public health, safety, morals or welfare because of:** 1) Dilapidation, deterioration, age or obsolescence; 2) inadequate provision of ventilation, light, air, sanitation or open spaces; 3) high density of population or overcrowding; 4) the existence of conditions which endanger life or property by fire and other causes; or 5) any combination of these factors.

B. **An area which is a menace to the public health, safety, morals, or welfare in its present condition because of:** 1) the predominance of inadequate street layout, unsanitary or unsafe conditions; 2) tax or special assessment delinquency exceeding the fair value of the land; 3) the existence of conditions which endanger life or property by fire and other causes; or 4) any combination of these factors.

The important thing to remember is that it is necessary to target an **area** to meet this national objective. This area must be defined by the applicant and shown to have contiguous boundaries and interrelated problems causing the **entire area** to be blighted.

In addition to the state definition of blighted area, the HUD rules for CDBG Program activities defines further what conditions must exist for an area to be considered blighted. These conditions are: 1) the local area meets the definition of a blighted area under state or local law; 2) throughout the blighted area there is a **substantial** number of deteriorating buildings or the public improvements are in a **general** state of deterioration; 3) the CDBG activities will address one or more of the conditions which contributed to the deterioration of the area; and 4) records are retained that sufficiently document that a project meets the national objective of addressing slums and blight on an area-wide basis.

Your community must take into consideration **both** the state and CDBG requirements when qualifying a slums/blight area-wide project. First, you should review the State Statute above to make sure the area in question is applicable. Then you should apply the HUD Condition (B) related to **buildings** or **public improvements.** In the case of public improvements, it is insufficient for only one type of public improvement to be in a state of deterioration, the public improvements **taken, as a whole** must **clearly exhibit signs of deterioration.** If both the state and HUD requirements seem to apply to your potential CDBG project, the following process should occur with **all materials sent to OCD as part of your Project Development submissions.**

REQUIRED DOCUMENTATION

1. Written descriptions of the conditions, which you feel, qualify the area at the time of its designation. This description must be in sufficient detail to demonstrate how the area met all criteria. Also included must be the method by which the area was identified and delineated.

2. Support documentation that details the specific conditions that exist in the designated area. This documentation can include, but is not limited to, structural analysis of buildings, engineering

studies, local code enforcement officials, planning board actions, public health and safety concerns, and actions taken by other state or local authorities.

3. A detailed map outlining the designated blighted area.

4. A Declaration of Slum and Blight enacted by the legislative body of your community. A sample copy of a Declaration of Slum and Blight is attached.

DECLARATION OF SLUM AND BLIGHT

MAINE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

It is hereby found and declared:

That there exists in the Town/City of ________________________ a deteriorating, dilapidated, slum and blighted area, dangerous buildings, deficient public improvements and incompatible uses of property, which constitute a serious and growing menace, injurious and inimical to the public health, safety, morals and welfare of the residents of the Town/City of _________________________.

That the existence of such an area, as shown on the attached map and identified as______________________, is found to be consistent with Maine State Statute 30-A, Chapter 205, Section 5202 and regulations set forth by the United States Department of Housing and Urban Development in 24 CFR Part 570.

That the blighted area will be addressed with Community Development Block Grant (CDBG) and other funds through eligible activities, in accordance with all CDBG regulations and Maine State Statute 30-A, Chapter 205, Sections 5201 through 5205.

That the activities to be conducted are designed to eliminate the causes of slum and blight.

The Declaration with attendant documentation is hereby enacted on the ____________ of_____________, 20__ and is effective from this day forth until such conditions have been remedied through completion of the CDBG project.

AUTHORIZED SIGNATURES

___________________________________ ___________________________________
Name **Date**

___________________________________ ___________________________________
Name **Date**

___________________________________ ___________________________________
Name **Date**

___________________________________ ___________________________________
Name **Date**

Municipal Seal

THIS MATERIAL IS AVAILABLE IN ALTERNATIVE FORMAT UPON REQUEST

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